Performance Assessment – Objective and Quantified Results: Ready When You Need Them

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Objectives

- Improve your evaluation capacity through working with and learning the Performance Assessment (PA) approach
  - Identify the role of the PA on the evaluation continuum
  - Detail the advantages, uses, and limitations of this approach
  - Describe how the PA's conceptual framework can be applied to other technical programs
  - List 3 uses of the 2 different automated results graphics
  - Apply findings from the exemplar materials in a PA report

What Technical Area Do You Work in?

- Health
  - Maternal-Child Health
  - Infectious Diseases
  - Chronic Diseases
- Diplomacy
- Agriculture
- Natural Resources
- Democracy and Governance

- Economic Development
- Education
  - Basic
  - Advanced
  - Adult
- Special Needs
- Defense
- Humanitarian, Emergency, and Post-conflict Settings

Agenda

- Introduction
- Performance Assessment (PA) Approach
- PA Data Collection Tool
- Results and Reporting
- Summary/Closing

What is Performance Assessment?

Performance Assessment

- "Assessment against a set of predetermined criteria of the economy, efficiency and effectiveness with which an organisation carries out a particular activity or range of activities."

  Organisation for Economic Co-operation and Development (OECD) definition

  Source: OECD Glossary of statistical terms
  http://stats.oecd.org/glossary/detail.asp?ID=4801

Our Adaptation

- A Performance Assessment (PA)
  - Determines whether a program or organisation is effective at marshalling and using its resources to implement its programme as intended
  - Reflects an organization's or program's achievements against established standards and benchmarks*

  *found to lead to the delivery of quality services

Characteristics of our PA Approach

- Standards-based data collection tool to maximize objectivity
- Aggregation of common information needs across different technical content areas
- Rapidity and efficiency (through automated data collection and results) to identify and prioritize areas of focus
- Straightforward scoring (Yes, Partial, No)
- Assessors readily able to be trained to administer tool even with limited technical content

Where Does It Fit in the Evaluation Continuum?

Evaluation across the Project Lifecycle

• Formative research • Baseline eval	• Monitoring and trend data • Mid-project evaluations • Performance assessment	Outcome/ Impact Evaluation

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• Project Design • Initiation	Project Implementation	Project Conclusion

Why This Approach was Developed

- Client need for assessment of program performance to:
  - Determine compliance with
    - laws, regulations, policies,
    - program guidance and requirements
  - Across complex set of 8 HIV-related technical areas and 2 cross-cutting areas
- Desired features
  - Rapid results on program performance, maximizing objectivity
  - Data to be efficiently gathered (limit burden on staff)

Specific Information Needs Showed Overlap and Similarities

- Different stakeholders (in 8 HIV-related technical areas) with similar information needs, across all aspects of program implementation

- Examples:
  - Availability of Standard Operating Procedures (SOP)
  - Training and supervision of staff
  - Adherence to country policies and guidelines for service delivery
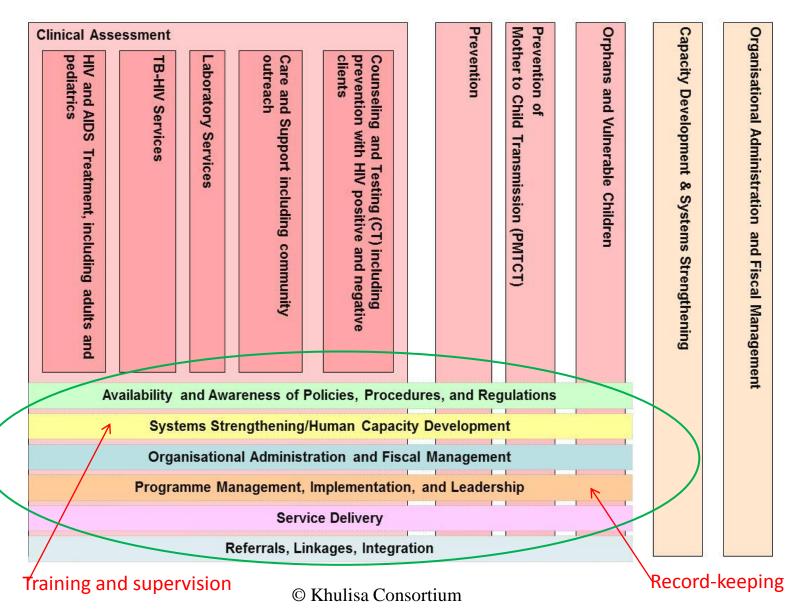 - Follow-up process
  - record-keeping

6 Functional Areas in a Development Program

- Availability and Awareness of Policies, Procedures, and Regulations
- Systems Strengthening/Human Capacity Development
- Organisational Administration and Fiscal Management
- Programme Management, Implementation, and Leadership
- Service Delivery
- Referrals, Linkages, Integration

Functional Areas Across 8 HIV-Related Technical Areas

Clinical Assessment

HIV and AIDS Treatment, including adults and pediatrics

TB-HIV Services

Laboratory Services

Care and Support including community outreach

Counseling and Testing (CT) including prevention with HIV positive and negative clients

Prevention

Prevention of Mother to Child Transmission (PMTCT)

Orphans and Vulnerable Children

Capacity Development & Systems Strengthening

Organisational Administration and Fiscal Management

Availability and Awareness of Policies, Procedures, and Regulations

Systems Strengthening/Human Capacity Development

Organisational Administration and Fiscal Management

Programme Management, Implementation, and Leadership

Service Delivery

Referrals, Linkages, Integration

Training and supervision

Record-keeping

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3 Models of PAs

- **Performance Assessment (PA):** Determines program's compliance with:
  - Program objectives and workplan
  - Requirements and guidance of funder and host country's policies, laws, and regulations.
  - Data collection methods:
    - Document and data-systems review
    - Interviews/questionnaires (but not with clients or beneficiaries).

    [No observations of service delivery or other processes.]

- **Focused PA:** Streamlined PA to examine compliance on sentinel areas within a program

3 Models of PAs (continued)

- **Diagnostic PA**
  - Assesses specific problems hindering achievement of stated programmatic goals, as identified by the client
  - More in-depth assessment of the specific functional areas of a program
  - Data collection methods:
    - Document and data-systems reviews
    - Interviews/questionnaires (possibly with clients or beneficiaries)
    - Observations of service delivery or other processes (optional)
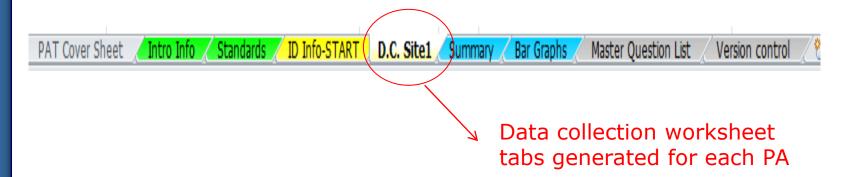
Data Collection Tool Development

Categorizing Information to be Collected

- Large body of information needed to be included
  - But not all were "compliance" standards
- 2 categories of questions which are scored:
  - **MUST** questions (assess compliance with policies, guidelines, and procedures)
  - **SHOULD** questions (reflect best practices or ideal situations but may not be mandated in the country or in donor-specific programs)

- Non-scoring questions:
  - **Informational** questions are used for background information and are not scored

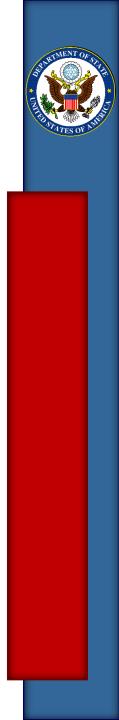# Automated for Efficient Data Collection and Results Reporting

- Excel-based data collection file with multiple worksheets
  - Background/information
  - Data collection worksheet for each location assessed
  - Reporting tabs
  - Master Questions list
  - Version control and tracking

PAT Cover Sheet | Intro Info | Standards | ID Info-START | D.C. Site1 | Summary | Bar Graphs | Master Question List | Version control

Data collection worksheet tabs generated for each PA

Example from the Master Questions List

Type of qx (scoring/non-scoring)

Type of PA

Location of data collection

No.	Must (M) or Should (S) or Information (I)?	PMTCT	Question applies to:					Supporting documentation required?	Guidance to the Assessor
			Focused OPR	OPR	DR	HO	Site		
		1.1 Work plan documents							
D.1	M	Was the programme design informed by formative research?		√	√	√			
D.2	M	Vision: Is there a written document that clearly describes in detail the programme's theory of change -- or the path for achieving programme improvement/success?		√	√	√		yes	*Explore whether they have considered components that lead to an enabling or supportive environment for behaviour change (e.g. support groups, community mobilisation, gender dynamics/status of women, value system, etc.)*
D.3	S	Is this theory (or path) understood and shared by all levels of the programme?			√	√	√		
D.4	M	Operational Planning: Is there a clear and detailed workplan for delivery of the programme's services?		√	√	√		yes	*Does the workplan contain clear objectives and targets? Is it updated/revised annually?*

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Sample from Data Collection Worksheet

Assessment Dates: From 11/22/2010 to 11/25/2010				Observers:	Assessors:		
Location Name: Site1					Person(s) Interviewed:		

No.	Must (M) or Should (S) or Information (I)?	PMTCT	Supporting documentation required?	Score	Comments, Evidence	Guidance to the Assessor
D.12	M	There are procedures in place for programme monitoring using indicators, supportive supervision, and observation of staff /volunteer activities	yes	Y	Different registers are used by each category of staff for different areas of service/ data collection at the site. The Partner nurse officer collects the site stats and submits to the head officer. Health talks, technical support and supervision visits are recorded in the visitor's register.	Ask for evidence such as site visit checklists, supervisory notes, registers, or logbooks.
D.13	M	If the programme has undergone a Data Quality Assessment within the last year, have all issues identified as a result of the DQA been resolved?		N/A	Not available at this level (not aware of DQA)	Identify any unresolved issues and list them along with date of DQA. Use N/A if no DQA within the last year
D.14	M	Are there systems in place to ensure data collected and organized is of high quality?	yes	N	Some of the registers are incomplete. There is no mechanism on record or described by interviewees to ensure quality.	Documentation, quality checks, verification, accuracy and non-duplication of counts
D.15	M	Is M&E documentation up to date?	yes	P	Information is incomplete in some of the registers.	Verify date of the document and if there is M&E guidance developed for sites.

How Can You Apply this Approach to Your Technical Area?

Let's Try...

- Individually:
  - Spend 5 minutes identifying content for 1 of the 6 functional areas
- Divide into small groups and work for 10 minutes
  - Discuss for 2 minutes how easily you could or could not apply your technical area
  - As a group, develop 3 questions each for 2 of the functional areas
  - Write assessor guidance for 2 of the questions

How Can You Apply this Approach to Your Technical Area (continued)

- Large-group discussion (2-3 minutes):
  - Was this easy? Why or why not?
  - What helped you?
  - Other observations?

Using the Results

Use of the Results

- Feedback to funder/client and the assessed organization:
  - How organisation is performing against set objectives, plans, and expectations
  - Areas of strengths and weakness for corrective actions
  - Best practices and program models
- Specifically:
  - Accountability for contract requirements and adherence to workplan
  - Stewardship of resources (including financial resources)
  - Programmatic compliance with standards and guidelines for service delivery

Sifting Through Information Overload (aka data collected)

- PA tool reports designed to rapidly identify strengths and issues
- Disaggregate program complexity by:
  - Functional areas of program performance
  - Location of service delivery

  And by:
  - Scores for MUST questions
  - Scores for SHOULD questions

Stoplight Scoring by Location and Section

Scores for MUST Questions

Must (M) Questions		1	2	3	4	5	6	
SUMMARY TABLE Performance Assessment Module Score		Availability and awareness of policies, plans, procedures, and regulations	Human Capacity Development & Systems Strengthening	Organisational Administration and Fiscal Management	Program Planning and Implementation	Service Delivery	Referrals, Linkages, Integration	**Average** (per site)
Sites								
1	Site1	2.00	1.85	1.67	2.08	2.63	2.91	2.19
2	Site2	2.00	1.46	1.67	2.08	2.37	2.64	2.04
Average (per module section)		2.00	1.66	1.67	2.08	2.50	2.78	2.11

Key		
Green	2.51 - 3	Strong
Yellow	1.5 - 2.5	Some improvement needed
Red	< 1.5	Immediate attention required
White	N/A	Not applicable

Scores for SHOULD Questions

Should (S) Questions **SUMMARY TABLE** Performance Assessment Module Score	1 Availability and awareness of policies, plans, procedures, and regulations	2 Human Capacity Development & Systems Strengthening	3 Organisational Administration and Fiscal Management	4 Program Planning and Implementation	5 Service delivery	6 Referrals, Linkages, Integration	**Average** (per site)
Sites							
1 Site1	1.00	1.75	2.00	2.00	2.54	3.00	2.05
2 Site2	1.00	1.50	2.00	1.89	2.09	3.00	1.91
Average (per module section)	1.00	1.63	2.00	1.95	2.32	3.00	1.98

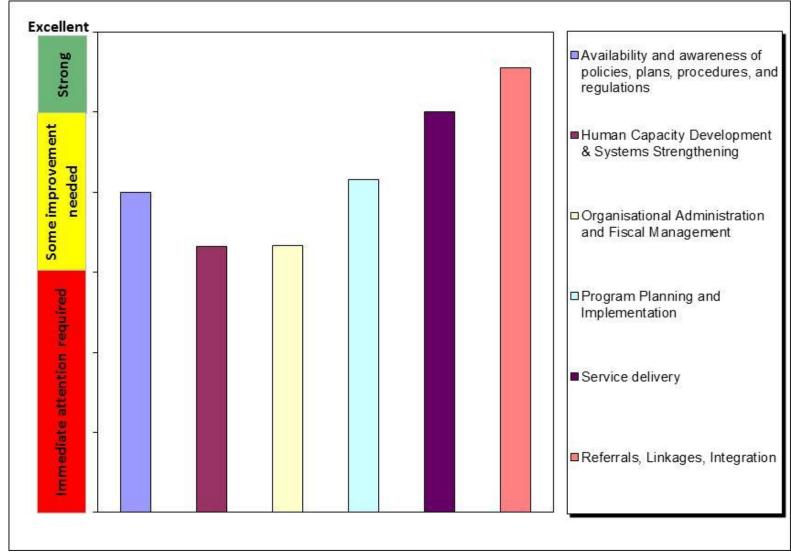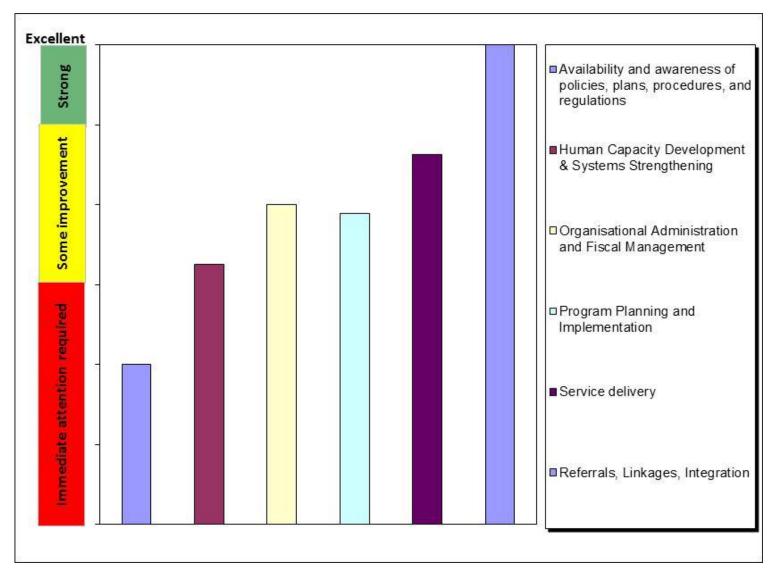| Key		
Green	2.51 - 3	Strong
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Overall Program Performance

Performance by PAT Module Section (Must Qx)

Performance by PAT Module Section (Should Qx)

Now it's Your Turn: Interpreting PA Results

- Use handout of PA Report template with these graphs inserted
- Small-group work (10 minutes):
  - Stoplight Scoring table
    - Identify 3 specific strengths and 3 deficiencies
    - Fill in the appropriate place in the template
  - Overall program performance for MUST and SHOULD questions.
    - Compare the 2 bar graphs and the differences
    - Develop 2 interpretations of what the graphs are portraying
    - Fill in the appropriate place in the template

Interpreting PA Results (continued)

- Large-group discussion (2-3 minutes):
  - Could you rapidly identify focused results?
  - How would these results be helpful if you were a Program Director?
  - Other observations?

Summary/Closing

- The Performance Assessment approach
  - Facilitates a rapid assessment of compliance with laws, regulations, and standards across all aspects of a health/development program
  - Gives a snapshot view of a complex program
  - Indicates focused areas of weakness, deficiencies for remediation
    - Enables rapid action for improving program performance (by internal or external stakeholder)
  - Can be rapidly developed once program and contract standards are identified

Thank You to....

- CDC South Africa
- USAID South Africa
- Partner organizations
- SAPPPA assessors and experts